



COMMONWEALTH OF KENTUCKY JOB CLASS SPECIFICATION

FINANCIAL INSTITUTIONS EXAMINER I

Job Number: 21000900

Job Code: 34300V151016

Job Group: 3400 - FINANCIAL EXAMINATION

Job Established: 10/16/2015

Job Revised:

Grade: 12 Salary (MIN - MID):

\$14,938-\$19,789 - Hourly

\$2,427.44-\$3,215.72 - 37.5 Hr. Monthly Salary

\$2,589.26-\$3,430.10 - 40 Hr. Monthly Salary

Special Entrance Rate:

\$18,750 - Hourly

\$3,046.88 - 37.5 Hr. Monthly Salary

\$3,250.00 - 40 Hr. Monthly Salary

PROBATIONARY PERIOD:

This job has an extended initial probationary period of 12 months. For additional information refer to: <http://www.lrc.ky.gov/kar/101/001/325.htm>

CHARACTERISTICS OF THE JOB: *Characteristics of a job are general statements indicating the level of responsibility and discretion of positions in that job classification. These are not intended to be an exhaustive list.*

At the entry level, reviews and evaluates applications and registrations or examines or investigates state- regulated financial institutions or securities entities. Learns appropriate procedures relevant to the procurement of institution or entity records. Under the supervision, gathers data and prepares work papers, schedules or other preliminary documentation; and performs other duties as required.

MINIMUM REQUIREMENTS:

EDUCATION:

Graduate of a college or university with a bachelor's degree in accounting, business administration, economics, finance or a related field, or a juris doctorate degree.

EXPERIENCE:

NONE

Substitute EDUCATION for EXPERIENCE:

NONE

Substitute EXPERIENCE for EDUCATION:

Experience as a financial institution or securities entity examiner, or professional experience working for a financial institutions regulatory agency or securities industries regulatory agency will substitute for the required education on a year-for-year basis. OR Two years of professional experience as an officer, accountant, analyst, internal auditor, compliance officer, or related professional in a financial institution; or as a licensed securities broker, dealer, agent or investment advisor; or as an investigator of financial fraud in the financial institutions or securities industries will substitute for each year of the required education.

SPECIAL REQUIREMENTS (AGE, LICENSURE, REGULATION, ETC.):

Must possess and maintain a valid driver's license prior to appointment in this classification. Employing agency is responsible for ensuring employee possesses and maintains a valid driver's license.

EXAMPLES OF DUTIES OR RESPONSIBILITIES OF THE JOB CLASSIFICATION: *Examples of duties or responsibilities are not to be construed as describing what the duties or responsibilities of any position shall be and are not to be construed as limiting the appointing authority's ability to assign, or otherwise alter the duties and responsibilities of a position. This is not intended to be an exhaustive list.*

As a trainee and within the scope of assigned responsibilities, learns appropriate state and federal laws and regulations and determines the institution's or entity's compliance with applicable laws and regulations. Learns the policies and procedures and begins performing routine tasks necessary to review and evaluate applications and registrations. Learns to conduct examinations, audits, or routine compliance reviews of a state-regulated financial institution or securities entity. Learns to gather and analyze relevant financial and supporting data to determine adequacy of the institution's or entity's operation relative to its investment portfolio, fixed assets account, blanket bond and other surety coverage, reconciliation of "due to" and "due from" correspondent accounts, and/or its financial structure, management and internal operations, use of proceeds, ability to meet financial obligations, and other risk factors. Learns the complaint investigation process. May begin collecting and synthesizing data in response to a complaint filed against an entity or an institution. Under supervision of more experienced staff, may assume responsibility for completing specific sections of the examination, audit or compliance report.

UNIQUE PHYSICAL REQUIREMENTS:

Must be able to transport personal (laptop) computer, printer, adding machine/calculator, various books and manuals. May occasionally be required to lift file boxes in excess of twenty-five pounds.

TYPICAL WORKING CONDITIONS: *Incumbents in the job will typically perform their job duties under these conditions.*

Work is usually performed in the offices of the financial institution or securities entity being examined, reviewed, or investigated. Will require travel usually within a defined geographic #district#. Travel outside one's district may be required periodically. Work may also be performed in the Department's central office or in one of its field offices.

ADDITIONAL REQUIREMENTS:

Upon appointment, employees in this class may be required to maintain a valid driver's license and required to drive a licensed vehicle. This status may be necessary for the length of time in this class. If this is necessary it will be listed in the specific position description for that position. Applicants and employees in this job title maybe required to submit to a drug screening test and background check. Applicants and employees in positions which perform job duties that may require contact with offenders in the custody or supervision of the Department of Corrections or with youth in the care, custody, or supervision of the Department of Juvenile Justice must meet qualifications pursuant to the federal Prison Rape Elimination Act, 28 C.F.R.115.17 and 115.317.

THE COMMONWEALTH OF KENTUCKY DOES NOT DISCRIMINATE ON THE BASIS OF RACE, COLOR, RELIGION, SEX, NATIONAL ORIGIN, SEXUAL ORIENTATION OR GENDER IDENTITY, ANCESTRY, AGE, DISABILITY, POLITICAL AFFILIATION, GENETIC INFORMATION OR VETERAN STATUS IN ACCORDANCE WITH STATE AND FEDERAL LAWS.